

INFORMATION DISCLOSURE STATEMENT


Serial No. 10/805,729

Page 1 of 3



CERTIFICATE OF MAILING under 37 CFR 1.8

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 4/18/06
Sujata Barot

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Porras, et al.

Attorney Docket Number: SRI/3928-9

Serial No.: 10/805,729

Filed:

March 22, 2004

Examiner: Ayaz R. Sheikh

Group Art Unit:

2131

Title: NETWORK SURVEILLANCE

COMMISSIONER FOR PATENTS

Mail Stop AMENDMENT

PO Box 1450

Alexandria, VA 22313-1450

SIR:

Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.98

Pursuant to 37 CFR § 1.56 and MPEP § 2001.06(c), the documents listed on the attached form PTO-1449 are disclosed.

Pursuant to 37 CFR § 1.98(a), the documents listed on the attached form PTO-1449 are submitted herewith. The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114. Although the Applicants believe that no fee is due in connection with this submission, the Commissioner is hereby authorized to charge counsel's Deposit Account No. 20-0782/SRI/3928-9 for any fees required to make this response timely and acceptable to the Office.

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Serial No. 10/805,729

Page 2 of 3

The documents listed on the attached form PTO-1449 comprise the responses to contention interrogatories made in the action captioned *SRI International Inc. v. Internet Security Systems et al.* currently pending in the U.S. District Court for the District of Delaware, case number 04-1199-SLR. The interrogatories relate to the defendants' allegations of inequitable conduct and to the validity of U.S. Patents 6,711,615, 6,484,203, 6,321,338, and 6,708,212, from at least one of which the present Application claims priority.

The documents listed as C2 through C51 on the attached form PTO-1449 are the defendants' interrogatory responses and exhibits thereto. The documents listed as C52 through C55 are the plaintiff's (Applicants') responses, including a rebuttal of the defendants' allegations of invalidity. The remainder of the documents provided herewith represent the art referenced in the defendants' responses that is not already of record in the present Application.

The final exhibit of each defendant's responses (*i.e.*, documents C25 and C49) alleges that the combination of an exceptionally large number of documents renders the patents in suit obvious. In order to avoid overly burdening the Examiner with this large volume of additional material, the Applicants have not provided copies of these references unless they are referenced elsewhere in the exhibits, or already of record in the present Application. However, the Applicants' representative will be more than happy to provide any or all of these references if the Examiner believes it necessary.

The Examiner's attention is directed to the fact that certain portions of the documents submitted herewith (particularly, certain portions of the defendant's invalidity contentions) are marked as subject to a protective order. The portions of the documents so marked include citations from an unpublished, internal and confidential document authored by the Applicants entitled "*Conceptual Design and Planning for EMERALD: Event Monitoring Enabling Responses to Anomalous Live Disturbances*" dated 20 May, 1997. This document has never been published or made available to the public, and as such cannot be prior art or otherwise material to patentability, and is not cited on the attached form PTO-1449. The Applicants do not object to the inclusion of the cited portions of this document, as recited in the defendant's invalidity contentions, in the official file wrapper maintained by the Office.

Further, two documents referenced by the defendants in their contentions are marked as "For Official Use Only": (i) "*Netranger Realtime Network Intrusion Detection Performance and Security Test*", DoD/SPOCK including appendices A, B, and C, April 30 1997 and (ii) "*Product Security Assessment of the Netranger Intrusion Detection Management System Version 1.1*", Air Force Information Warfare Center, February 1997. The Applicants are investigating the validity of these government markings and are unable at present to provide the Examiner with copies thereof. If it is determined that these markings are no longer appropriate, the Applicants will provide copies to the Examiner.

INFORMATION DISCLOSURE STATEMENT

Serial No. 10/805,729

Page 3 of 3

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'Kin-Wah Tong', is written over a horizontal line.

Kin-Wah Tong, Esq.

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Attorney for Applicants

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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Application Number	10/805,729
		Filing Date	3/22/04
		First Named Inventor	Porras, et al.
		Group Art Unit	2131
		Examiner Name	Ayaz R. Sheikh
		Attorney Docket Number	SRI/3928-9
Sheet 2	15	Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
	C1	JOINT CLAIM CONSTRUCTION STATEMENT, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation, and Symantec Corporation a Delaware Corporation, (13 pages), Certificate of Service dated March 17, 2006	
	C2	SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation, a Delaware Corporation, pp 1-22, Dated November 15, 2005	
	C3	EXHIBIT A-1 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, EMERALD: EVENT MONITORING ENABLING RESPONSES TO ANOMALOUS LIVE DISTURBANCES, "EMERALD 1997", EMERALD 1997 INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-51, November 15, 2005.	
	C4	EXHIBIT A-2 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, ANALYSIS AND RESPONSE FOR INTRUSION DETECTION IN LARGE NETWORKS- SUMMARY FOR CMAD WORKSHOP, "EMERALD-CMAD", EMERALD - CMAD INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-33, November 15, 2005.	
	C5	EXHIBIT A-3 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, EMERALD: EVENT MONITORING ENABLING RESPONSES TO ANOMALOUS LIVE DISTURBANCES CONCEPTUAL OVERVIEW, "EMERALD- CONCEPTUAL OVERVIEW", EMERALD - CONCEPTUAL OVERVIEW INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-34, November 15, 2005.	
	C6	EXHIBIT A-4 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, CONCEPTUAL DESIGN AND PLANNING FOR EMERALD: EVENT MONITORING ENABLING RESPONSES TO LIVE DISTURBANCES, "EMERALD - CONCEPTUAL DESIGN 1997", EMERALD - CONCEPTUAL DESIGN 1997 INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103 pp.1-56, November 15, 2005.	
	C7	EXHIBIT A-5 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, LIVE TRAFFIC ANALYSIS OF TCP/IP GATEWAYS, "EMERALD - LIVE TRAFFIC ANALYSIS", EMERALD - LIVE TRAFFIC ANALYSIS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-44, November 15, 2004.	
	C8	EXHIBIT A-6 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, NEXT GENERATION INTRUSION DETECTION EXPERT SYSTEM (NIDES) A SUMMARY, "NETWORK NIDES", NETWORK NIDES INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-40, November 15, 2005	
	C9	EXHIBIT A-7 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, SCALABLE INTRUSION DETECTION FOR THE EMERGING NETWORK, "JI-NAO", EACH OF JI-NAO AND JI-NAO SLIDES INVALIDATE THE INDICATED CLAIMS UNDER 5 U.S.C. § 102 (b), pp.1-76, November 15, 2005.	

Examiner	Date Considered
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	C10	EXHIBIT A-8 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, A NETWORK SECURITY MONITOR, "NSM", NSM INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-9, November 15, 2005.	
	C11	EXHIBIT A-9 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, DISTRIBUTED INTRUSION DETECTION SYSTEM, "DIDS FEBRUARY 1991 AND DIDS OCTOBER 1991", EACH OF DIDS FEBRUARY 1991 AND DIDS OCTOBER 1991 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-88, November 15, 2005.	
	C12	EXHIBIT A-10 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, GRAPH BASED INTRUSION DETECTION SYSTEM FOR LARGE NETWORKS, "GRIDS 1996 AND GRIDS 1997", GRIDS 1996 AND GRIDS 1997 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-39, November 15, 2005.	
	C13	EXHIBIT A-11 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, WHEELGROUP CORPORATION, "NETRANGER", EACH OF NETRANGER USER GUIDE 1.3.1 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-34, November 15, 2005.	
	C14	EXHIBIT A-12 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, INTERNET SECURITY SYSTEMS, "REALSECURE", REALSECURE INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-22, November 15, 2005.	
	C15	EXHIBIT A-13 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, THE ARCHITECTURE OF A NETWORK LEVEL INTRUSION DETECTION SYSTEM, "NETWORK LEVEL INTRUSION DETECTION", NETWORK LEVEL INTRUSION DETECTION INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-20, November 15, 200.	
	C16	EXHIBIT A-14 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, U.S. PATENT NO. 5,825,750 (THOMPSON), U.S. PAT. NO. 5,825,750 (THOMPSON) INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (a) AND 102(e), pp.1-13, November 15, 2005.	
	C17	EXHIBIT A-15 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, FAULT DETECTION IN AN ETHERNET NETWORK VIA ANOMALY DETECTORS, FAULT DETECTION IN AN ETHERNET NETWORK VIA ANOMALY DETECTORS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-9, November 15, 2005.	

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STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 4

15

Application Number

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Filing Date

3/22/04

First Named Inventor

Porras, et al.

Group Art Unit

2131

Examiner Name

Ayaz R. Sheikh

Attorney Docket Number

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	C18	EXHIBIT A-16 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, HARRIS CORPORATION, "STAKE OUT NETWORK SURVEILLANCE", STAKE OUT NETWORK SURVEILLANCE INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-12, November 15, 2005.	
	C19	EXHIBIT A-17 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, HP OPENVIEW FOR WINDOWS USER GUIDE, "HP OPENVIEW", HP OPENVIEW AND THE INTERNET STANDARDS INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-29, November 15, 2005.	
	C20	EXHIBIT A-18 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, INTERNETWORK SECURITY MONITOR, "ISM", ISM AND DIDS INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) OR 103, pp. 1-80, November 15, 2005.	
	C21	EXHIBIT A-19 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, EMERALD 1997, INTRUSIVE ACTIVITY 1991, NIDES 1994, EMERALD 1997, INTRUSIVE ACTIVITY 1991, AND NIDES 1994 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp. 1-53, November 15, 2005.	
	C22	EXHIBIT A-20 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, NETSTALKER AND HP OPENVIEW, NETSTALKER AND HP OPENVIEW INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-32, November 15, 2005.	
	C23	EXHIBIT A-21 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, NETWORK FLIGHT RECORDER, NETWORK FLIGHT RECORDER INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp. 1-53, November 15, 2005.	
	C24	EXHIBIT A-22 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, AUTOMATED INFORMATION SYSTEM "AIS", AIS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-21, November 15, 2005.	
	C25	EXHIBIT A-23 TO THE SYMANTEC CORPORATION'S SECOND SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORIES NOS. 6 AND 11, COMPARISON OF LISTED PUBLICATIONS TO CLAIMS -AT-ISSUE OF SRI'S PATENT-IN-SUIT FOR 35 U.S.C. § 103, pp. 1-57, November 15, 2005.	

Examiner

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PTO/SB/08b (08-03)

Approved for use through 06/30/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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	C26	SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, SRI International, Inc., a California Corporation v. Internet Security Systems Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation, and Symantec Corporation, a Delaware Corporation, pp.1-22, Certificate of Service dated November 15, 2005	
	C27	EXHIBIT 1 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, EMERALD 1997 INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-60, November 15, 2005.	
	C28	EXHIBIT 2 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, CMAD INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103,pp 1-27, November 15, 2005.	
	C29	EXHIBIT 3 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, EMERALD CONCEPTUAL OVERVIEW INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp. 1-35, November 15, 2005.	
	C30	EXHIBIT 4 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, CONCEPTUAL DESIGN AND PLANNING FOR EMERALD: EVENT MONITORING ENABLING RESPONSES TO ANOMALOUS LIVE DISTURBANCES VERSION 1.2, 20 May 1997INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp. 1-58, November 15, 2005.	
	C31	EXHIBIT 5 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, LIVE TRAFFIC ANALYSIS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), PP. 1-52, November 15, 2005.	
	C32	EXHIBIT 6 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, NEXT-GENERATION INTRUSION DETECTION EXPERT SYSTEM (NIDES): A SUMMARY INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-47, November 15, 2005	
	C33	EXHIBIT 7 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, JI-NAO INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-100, November 15, 2005	

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	C34	EXHIBIT 8 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, NSM INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-17, November 15, 2005.	
	C35	EXHIBIT 9 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, DIDS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-114, November 15, 2005.	
	C36	EXHIBIT 10 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, ISM AND DIDS INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) OR 103, pp.1-91, November 15, 2005.	
	C37	EXHIBIT 11 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, GrIDS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-41, November 15, 2005	
	C38	EXHIBIT 12 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, NETRANGER INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-32, November 15, 2005.	
	C39	EXHIBIT 13 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, REALSECURE INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-21, November 15, 2005.	
	C40	EXHIBIT 14 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, THE NETWORK FLIGHT RECORDER SYSTEM INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-73, November 15, 2005.	
	C41	EXHIBIT 15 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, NETSTALKER AND HP OPENVIEW INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-21, November 15, 2005.	

Examiner

Date Considered

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

7

15

Application Number

10/805,729

Filing Date

3/22/04

First Named Inventor

Porras, et al.

Group Art Unit

2131

Examiner Name

Ayaz R. Sheikh

Attorney Docket Number

SRI/3928-9

Submission Date

April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
	C42	EXHIBIT 16 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, HP OPENVIEW AND THE INTERNET STANDARDS INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) AND/OR 103, pp.1-26, November 15, 2005.	
	C43	EXHIBIT 17 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, "NETWORK LEVEL INTRUSION DETECTION SYSTEM" (AUGUST 1990) INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-22, November 15, 2005.	
	C44	EXHIBIT 18 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, US PATENT NUMBER 5,825,750 (THOMPSON) INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (a) and 102 (e), pp.1-21, November 15, 2005.	
	C45	EXHIBIT 19 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, "FAULT DETECTION IN AN ETHERNET NETWORK VIA ANOMALY DETECTORS" INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-17, November 15, 2005.	
	C46	EXHIBIT 20 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, STAKE OUT NETWORK SURVEILLANCE INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp.1-24, November 15, 2005.	
	C47	EXHIBIT 21 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, EMERALD 1997, INTRUSIVE ACTIVITY 1991, AND NIDES 1994 INVALIDATE THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b) OR 103, pp. 1-62, November 15, 2005.	
	C48	EXHIBIT 22 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, AUTOMATED INFORMATION SYSTEM – AIS INVALIDATES THE INDICATED CLAIMS UNDER 35 U.S.C. § 102 (b), pp. 1-15, November 15, 2005.	
	C49	EXHIBIT 23 TO THE SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NOS 6 & 11, COMPARISON OF LISTED PUBLICATIONS TO CLAIMS-AT-ISSUE OF SRI'S PATENTS-IN-SUIT FOR 35 U.S.C. § 103, pp. 1-127, November 15, 2005.	
	C50	SECOND SUPPLEMENTAL RESPONSES AND OBJECTIONS OF ISS-GA AND ISS-DE TO SRI'S INTERROGATORY NO. 11, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp.1-17, Certificate of Service dated March 28, 2006.	
	C51	SYMANTEC CORPORATION'S FIFTH SUPPLEMENTAL RESPONSES TO SRI INTERNATIONAL, INC.'S INTERROGATORY NO. 11, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp. 1-15, dated March 28, 2006.	
	C52	SRI INTERNATIONAL, INC.'S RESPONSES TO DEFENDANTS ISS-GA'S SECOND SET OF INTERROGATORIES (NOS. 19-20) AND SRI'S THIRD SUPPLEMENTAL RESPONSE TO ISS-GA'S INTERROGATORY NO. 17, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp. 1-54, Certificate of Service dated December 15, 2005	

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		Filing Date	3/22/04
		First Named Inventor	Porras, et al.
		Group Art Unit	2131
		Examiner Name	Ayaz R. Sheikh
		Attorney Docket Number	SRI/3928-9
Sheet 8	15	Submission Date	April 18, 2006

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	C53	SRI INTERNATIONAL, INC.'S RESPONSE TO SYMANTEC'S INVALIDITY AND INEQUITABLE CONDUCT CONTENTIONS, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp.1-50, Certificate of Service dated December 15, 2005	
	C54	SRI INTERNATIONAL, INC.'S SUPPLEMENTAL RESPONSE TO INTERROGATORIES NO 12. AND NO. 15, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc. a Delaware Corporation, Internet Security Systems, Inc. a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp. 1-6, Certificate of Service date December 15, 2005	
	C55	SRI INTERNATIONAL, INC.'S "AMENDED" RESPONSE TO SYMANTEC'S INVALIDITY AND INEQUITABLE CONDUCT CONTENTIONS, SRI International, Inc., a California Corporation v. Internet Security Systems, Inc., a Delaware Corporation, Internet Security Systems, Inc., a Georgia Corporation and Symantec Corporation a Delaware Corporation, pp.1-51, Certificate of Service date December 16, 2005	
	C56	S.S. CHEN et al, GrIDS – A Graph Based Intrusion Detection System for Large Networks, 19th National Information Security Systems Conference, 1996	
	C57	L.T. HEBERLEIN, et al., Internetwork Security Monitor, Proc. 15th National Computer Security Conference, October 13-16 1992, pp. 262-271	
	C58	B. MUKHERJEE et al., Network Intrusion Detection, IEEE Network 8(3), pp. 26-41, May/June 1994	
	C59	B. GLEICHAUF AND D. TEAL, NetRanger High-level Overview Version 1.1, WheelGroup Corp., November 1996	
	C60	S.R. SNAPP, et al., A System for Distributed Intrusion Detection, COMPCON Spring'91, Digest of Papers, San Francisco, CA, 25 February – 1 March 1991, pp. 170-176	
	C61	JAMES BRENTANO et al., An Architecture for a Distributed Intrusion Detection System, Proc. 14th Department of Energy Computer Security Group Conference, May 7-9 1991, pp 17.25-17.45.	
	C62	L.T. HEBERLEIN et al., Towards Detecting Intrusions in a Networked Environment, Proc. 14th Department of Energy Computer Security Group Conference, pp. 17.47-17.65, May 7-9 1991	

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				Group Art Unit	2131
				Examiner Name	Ayaz R. Sheikh
				Attorney Docket Number	SRI/3928-9
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	C64	L.T. HEBERLEIN et al., A Method to Detect Intrusive Activity in a Networked Environment, Proc. 14th National Computer Security Conference, pp. 362-371, October 1991	
	C65	RANUM et al., Implementing a Generalized Tool for Network Monitoring, Proc. 11 th Systems Administration Conference (LISA'97), San Diego, CA, October 1997	
	C66	STEVEN SNAPP et al., Intrusion Detection Systems (IDS): A Survey of Existing Systems and a Proposed Distributed IDS Architecture, CSE-91-7, allegedly dated February 1991	
	C67	L.T. HEBERLEIN et al., Network Attacks and an Ethernet-based Network Security Monitor, Proc. 13th Department of Energy Computer Security Group Conference, pp. 14.1-14.13, May 8-10 1990	
	C68	RealSecure 1.1: User Guide and Reference Manual, 1997	
	C69	RealSecure 1.2: User Guide and Reference Manual 1997	
	C70	3Com, HP Openview for Windows User Guide for Transcend Management Software, Version 6.1 for Windows and '97 for Windows NT, October 1997	
	C71	3Com, HP Openview for Windows Workgroup Node Manager User Guide for Transcend Management Software, Version 6.0 for Windows, January 1997	
	C72	Y. FRANK JOU et al., Architecture Design of a Scalable Intrusion Detection System For the Emerging Network Infrastructure, Technical Report CDRL A005, DARPA Order E296, Department of Computer Science, North Carolina State University, April 1997	
	C73	Y. FRANK JOU AND S. FELIX WU, Scalable Intrusion Detection for Emerging Network Infrastructures, IDS Program Review Presentation, SRI, July 1997	

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Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

Sheet 10

15

NON PATENT LITERATURE DOCUMENTS

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	C75	SHYHTSUN F. WU et al., Intrusion Detection for Link-state Routing Protocols, December 2, 1996	
	C76	DIHENG QU et al., Statistical Anomaly Detection for Link-state Routing Protocols, 6th International Conference on Network Protocol (ICNP '98), pp. 62-70, October 1998	
	C77	T. LUNT et al., A Real-time Intrusion Detection Expert System (IDES): Final Technical Report, Technical Report, SRI Computer Science Laboratory, Menlo Park, CA, 28 February 1992	
	C78	T.F. LUNT et al., IDES: A Progress Report, Proc. 6th Annual Computer Security Applications Conference, pp. 273-285, 1990	
	C79	PC Week, NetRanger Keeps Watch Over Security Leaks, September 1997	
	C80	Network Systems Corp., Data Privacy Facility Administrator's Guide Version 1.2, September 1995	
	C81	Haystack Labs, NetStalker, Installation and User's Guide, Version 1.0.2, 1996	
	C82	WheelGroup Corp., NetRanger User's Guide, 1996	
	C83	WheelGroup Corp., NetRanger User's Guide 1.2, 1997	
	C84	P.PORRAS AND P. NEUMANN, EMERALD: Event Monitoring Enabling Responses to Anomalous Live Disturbances Conceptual Overview, December 18, 1996	
	C85	WheelGroup Corp, WheelGroup Press Release Summary, undated.	
	C86	WheelGroup Corp., WheelGroup Releases NetRanger 2.0, Press Release, August 25, 1997	

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Filing Date	3/22/04
First Named Inventor	Porras, et al.
Group Art Unit	2131
Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

Sheet 11

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	C87	WheelGroup Corp., Summary of DoD/SPOCK Evaluation of WheelGroup's NetRanger Intrusion Detection System, Press Release, July 8, 1997	
	C88	WheelGroup Corporation, NetRanger User Guide Version 1.3.1, 1997	
	C89	Graph-based Intrusion Detection System (GRIDS) Home Page, webpage allegedly archived July 19, 1997	
	C90	GrIDS Requirements Document, webpage allegedly archived December 14, 1996	
	C91	GrIDS Outline Design Document, webpage allegedly archived December 14, 1996	
	C92	STEVEN CHEUNG et al., The Design of GRIDS: A Graph-based Intrusion Detection System, Technical Report, UC Davis Department of Computer Science, May 14, 1997	
	C93	STEVEN CHEUNG et al., Graph-based Intrusion Detection System, Presentation at PI Meeting, Savannah, GA, Feb 25-27 1997	
	C94	WheelGroup Corp., NetRanger User's Guide 1.2.2, 1997	
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	C96	P. NEUMANN, P. PORRAS AND A. VALDES, Analysis and Response for Intrusion Detection in Large Networks, Summary for CMAD Workshop, Monterey, 12-14 November 1996	
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	C98	M. SIEGL et al., Hierarchical Network Management – A Concept and its Prototype in SNMPv2, allegedly dated 1996	
	C99	RFC 1155, Structure and Identification of Management Information for TCP/IP-based Intranets, May 1990	

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			Examiner Name	Ayaz R. Sheikh	
			Attorney Docket Number	SRI/3928-9	
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	C101	RFC 1213, Management Information Base for Network Management of TCP/IP-based Internets: MIB-II, March 1991	
	C102	RFC 1441, Introduction to Version 2 of the Internet-standard Network Management Framework, April 1993	
	C103	RFC 1757, Remote Network Monitoring Management Information Base, February 1995	
	C104	RFC 1271, Remote Network Monitoring Management Information Base, November 1991	
	C105	RFC 1451, Manager-to-Manager Management Information Base, April 1993	
	C106	RICHARD HEADY et al., The Architecture of a Network Level Intrusion Detection System, Technical Report CS90-20, University of New Mexico, Department of Computer Science, August 15, 1990	
	C107	ISS, RealSecure 1.0: User Guide and Reference Manual, 1996	
	C108	KARL LEVITT AND CHRISTOPHER WEE (Eds.) Proceedings of Fourth Workshop on Future Directions in Computer Misuse and Anomaly Detection, Monterey, California, November 12-14 1996	
	C109	Netranger, Installation & Configuration Training, Slide Presentation, April 1997	
	C110	WheelGroup Corp., Traditional Security Basics, Undated	
	C111	T.F. LUNT et al., A Real-time Intrusion Detection Expert System (IDES): Interim Progress Report Project 6784, SRI International, May 1990	
	C112	ISS, RealSecure web page, allegedly dated 1997	

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Submission Date April 18, 2006

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
	C113	ISS, Built-in Attack Recognition Capabilities Give Organizations Power to Detect and Respond to Attacks Before It's Too Late, Press release, May 12, 1997	
	C114	ISS, More About RealSecure: General Description and Comparison to Existing Systems, web page, allegedly available July 21, 1997	
	C115	ISS, Frequently Asked Questions about RealSecure, web page, allegedly last updated May 30th 1997, and alleged available July 21, 1997	
	C116	ISS, Frequently Asked Questions about RealSecure, web page, allegedly last updated October 21st 1997, and alleged available January 20, 1998	
	C117	ISS, Frequently Asked Questions about RealSecure, web page, alleged available 1998	
	C118	ISS, Real-time Attack Recognition and Response: A Solution for Tightening Network Security, allegedly available January 20, 1998	
	C119	ISS, Internet Security Systems Launches RealSecure 1.0 For Windows NT, Press release, May 12, 1997	
	C120	ISS, Internet Security Systems Augments Network Security with Real-time Attack Recognition and Response Tool, Press release, December 9, 1996	
	C121	ISS, Internet Security Systems Ships RealSecure For Windows NT, Industry's First Real-time Attack Recognition and Response Tool for Windows NT, Press release, August 19, 1997	
	C122	ISS, ISS Announces New Version of Leading Real-time Security Attack Recognition and Response Tool, Press release, March 25, 1997	
	C123	Harris Corporation, Stake Out Network Surveillance, White Paper, 1996	
	C124	ISS, RealSecure Release Dates Table, Undated.	
	C125	MARK MILLER, Managing Internetworks with SNMP, 2nd Edition, 1997	
	C126	NFR, Frequently Asked Questions / Troubleshooting Guide, Undated	

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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>		Application Number	10/805,729
		Filing Date	3/22/04
		First Named Inventor	Porras, et al.
		Group Art Unit	2131
		Examiner Name	Ayaz R. Sheikh
		Attorney Docket Number	SRI/3928-9
Sheet 14	15	Submission Date	April 18, 2006

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
	C127	NFR Beta Handbook, November 1997	
	C128	Harris Corporation Web Site allegedly obtained from archive.org,	
	C129	ROY MAXION et al., A Case Study of Ethernet Anomalies in a Distributed Computing Environment, IEEE Transactions on Reliability, 39(4), pp. 433-443, October 1990.	
	C130	NetRanger SQL Queries, allegedly dated May 28 1997	
	C131	FRANK FEATHER et al., Fault Detection in an Ethernet Network Using Anomaly Signature Matching, Computer Communication Review, SIGCOMM'93 Conference Proceedings, pp. 279-288, September 13-17, 1992	
	C132	NFR Version 2.0 Library, October 5, 1998	
	C133	NFR Version 2.0 Getting Started Guide, undated	
	C134	NFR Version 2.0 User's Guide, undated	
	C135	NFR Version 2.0 Advanced User's Guide, undated	
	C136	NFR Version 2.0 Glossary, undated	
	C137	Haystack Labs, NetStalker for Network Systems Corporation, web page, allegedly dated 1996	
	C138	Haystack Labs, Network Systems and Haystack Labs introduce NetStalker to Track Hacker Attempts, Press Release, November 10, 1995	

Examiner	Date Considered
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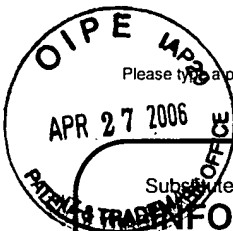
Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(Use as many sheets as necessary)</i>				Application Number	10/805,729
				Filing Date	3/22/04
				First Named Inventor	Porras, et al.
				Group Art Unit	2131
				Examiner Name	Ayaz R. Sheikh
				Attorney Docket Number	SRI/3928-9
Sheet	15		15	Submission Date	April 18, 2006

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	C139	C. SCHUBA, On the Modeling, Design and Implementation of Firewall Technology, Ph.D. Thesis, Purdue University, December 1997	
	C140	NFR User Guide, Version 1.1, November 1997	
	C141	NFR Version 1.0beta2 Source Code	
	C142	L. TODD HEBERLEIN, Network Security Monitor Final Report, allegedly dated February 1995	
	C143	STEVEN R. SNAPP et al., The DIDS (Distributed Intrusion Detection System) Prototype, Proc. Summer 1992 USENIX Conference, June 8-12 1992.	
	C144	RealSecure 1.2.2: User Guide and Reference Manual, September 11, 1997	
	C145	FRANK FEATHER, Fault Detection in an Ethernet Network via Anomaly Detectors, Ph.D. Thesis, Carnegie Mellon University, Order Number 9224199, 1992.	
	C146	Archived Pages from the Haystack Website	
	C147	PETER G. NEUMANN AND ALFONSO VALDES, Analysis and Response for Intrusion Detection in Large Networks, Summary for Intrusion Detection Workshop, Santa Cruz, CA, 26-28 August 1996.	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Application Number	10/805,729
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First Named Inventor	Porras, et al.
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Examiner Name	Ayaz R. Sheikh
Attorney Docket Number	SRI/3928-9
Submission Date	April 18, 2006

Sheet 1

of 15

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	A1	US - 5,825,750	10-20-1998	Thompson	
	A2				
	A3				
	A4				
	A5				
	A6				
	A7				
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	A9				
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
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	B2					
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